



IDAHO DEPARTMENT OF FINANCE
Securities Bureau
800 Park Blvd., Suite 200, Boise, ID 83712
P.O. Box 83720, Boise, ID 83720-0031
Website: finance.idaho.gov
Fax: 208/332-8099
208/332-8004

GUIDELINES FOR COMPLETING THE SECURITIES COMPLAINT FORM

Before filling out the attached complaint form, please take the time to read these guidelines; they will help you understand our functions, and we will be better able to understand and act on your complaint.

WHAT WE CAN DO:

We investigate complaints against persons, business entities, and corporations accused of violating the licensing or anti-fraud provisions of laws administered by the Department. We are empowered to bring administrative or civil actions to stop these violations, and, in appropriate cases, to refer matters to the Prosecuting Attorneys' offices for criminal prosecution.

WHAT WE CANNOT DO:

We cannot act as a court of law, so we cannot order that monies be refunded, contracts be canceled, damages be awarded, etc. If you have this type of problem, you should consult an attorney.

We cannot give legal advice or act as your attorney.

HOW YOU CAN HELP US:

The purpose of this complaint form is to provide this Department with enough information to allow us to determine if an investigation into your allegations is warranted. Thus, it is important for you to furnish as much detailed information as possible.

Documentary evidence is especially important, therefore, you should photocopy all documents such as contracts, agreements, certificates, notes, trust deeds, correspondence, legible copies of the front and back of checks involved, escrow documents, advertising, etc., and attach them to the written complaint. (Please do not send originals; we cannot be responsible for their safekeeping.)

Type or print clearly in ink.

If you have any questions concerning this form, you may contact the Securities Bureau at 208/332-8004.

Upon completion of all sections, please mail the form along with your supporting documents to:

Idaho Department of Finance
Securities Bureau
P.O. Box 83720, Boise, ID 83720-0031
or
Express: 800 Park Blvd., Suite 200, Boise, ID 83712

COMPLAINT FORM

INFORMATION ABOUT YOU

A.

_____ Last Name	_____ First	_____ Middle	_____ Today's Date
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Home Address

_____ City	_____ State	_____ Zip
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(_____) _____
Telephone Number

Business Address

_____ City	_____ State	_____ Zip
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(_____) _____
Telephone Number

_____ Trade or Occupation	_____ Age
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Marital Status

Are you willing to be interviewed by an investigator from this office? ☐ Yes ☐ No

Are you willing to be a witness if formal proceedings are commenced by the Idaho Department of Finance?

☐ Yes ☐ No

SUBJECT OF COMPLAINT

B.

_____ Company Name	_____ Address	_____ Telephone No.
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List persons who were involved in selling you the investment (please use separate pages to set forth any other available information about these persons.)

_____ Last Name	_____ First	_____ Middle	_____ Position	_____ Telephone No.
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_____ Address	_____ City	_____ State	_____ Zip
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_____ Last Name	_____ First	_____ Middle	_____ Position	_____ Telephone No.
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_____ Address	_____ City	_____ State	_____ Zip
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Please explain in detail your previous investment experience (type, date, amount) with either the company or the salesperson who contacted you. Additionally, describe any personal relationships/dealings with the company or the salesperson.

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

INFORMATION ABOUT INVESTMENT

- C. What did you purchase or invest in? (Examples: common stock, debenture, limited partnership interest, investment contract, fractional interests in an oil and gas lease). Include the date of purchase, the number of units or shares purchased and the amount paid.

E. How did you learn of the investment? (Check more than one if necessary and enclose copies of pamphlets or advertisements if possible.)

☐ Personal visit When? _____
Where? _____
Whom? _____
Who else was present? _____

☐ Telephone call Date? _____
From whom? _____
At what address/location was the call received? _____

☐ Advertising pamphlet/sales letter Sent to you at what address/location? _____

Copy of pamphlet enclosed? _____
Copy of envelope attached? _____

☐ Newspaper Name of paper? _____
Date? _____
Copy of advertisement enclosed? _____

☐ Radio Name of station? _____
Date _____

☐ Television Name of station? _____
Date? _____

☐ Group Sales Presentation
Date of presentation? _____
Where? _____
Others present? _____

☐ Other (Please Specify) _____

F. List others who were present when the offers or sales were made to you.

Name	Address	Telephone	Relationship to Complainant
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Name	Address	Telephone	Relationship to Complainant
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Name	Address	Telephone	Relationship to Complainant
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G. Did you sign any type of contract? _____ If so, please enclose a copy.

Where was it signed (city/county)? _____

Who else was present? _____

Were your securities delivered? _____

Where are your securities held? _____

If your securities have been delivered to you by mail, please attach a copy of the cover letter attached to your securities.

H. Who else do you know that invested with the company, corporation, or association?

Name	Address	Telephone	Relationship to Complainant
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Name	Address	Telephone	Relationship to Complainant
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Name	Address	Telephone	Relationship to Complainant
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Name	Address	Telephone	Relationship to Complainant
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Name	Address	Telephone	Relationship to Complainant
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Name	Address	Telephone	Relationship to Complainant
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Name	Address	Telephone	Relationship to Complainant
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I. Have you complained to subject or seller? ☐ Yes ☐ No

If yes, what offer of adjustment or explanation was made?

J. Have you notified or filed a complaint with any of the following agencies?

- | | |
|--|---|
| <input type="checkbox"/> U.S. Securities and Exchange Commission | <input type="checkbox"/> Sheriff's Office |
| <input type="checkbox"/> Idaho Attorney General | <input type="checkbox"/> Local Police Dept. |
| <input type="checkbox"/> Other Federal Agency or Office | <input type="checkbox"/> Better Business Bureau |
| <input type="checkbox"/> County Prosecuting Attorney | <input type="checkbox"/> Local Newspaper |

K. Have you or any other victims filed a lawsuit in any court? ☐ Yes ☐ No

If yes, please provide the name of the case/county/case number and provide a copy of the court documents.

L. What would you consider to be a satisfactory solution?

I DECLARE UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE STATE OF IDAHO THAT THE FOREGOING STATEMENTS AND PHOTOCOPIES OF ATTACHED DOCUMENTS ARE TRUE AND CORRECT.

Signature (Please sign in ink)

Date

C:\MyFiles\SecComplFrm.wpd